

Rocky Flats Environmental Technology Site

3-S22-ER-ADM-17.06

REVISION 0

ERPD RECORDS PROTECTION, MAINTENANCE, AND ACCESS CONTROL

APPROVED BY



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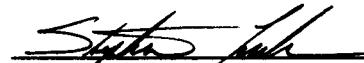
2-22-95

Program Manager,

Print Name

Date

Environmental Restoration Program Division



STEPHEN LUKER


2-22-95

Quality Assurance Program Manager,

Print Name

Date

Data Management and Reporting Services

DOE RFO/ER Concurrence on file ☐ Yes ☐ No ☒ NAEnvironmental Protection Agency Approval Received. ☐ Yes ☐ No ☒ NAResponsible Organization Environmental Restoration Program Division Effective Date02-28-95 

REVIEW BY THE FOLLOWING DISCIPLINES WILL BE DOCUMENTED IN THE PROCEDURE HISTORY FILE

Data Management and Reporting Services

USE CATEGORY 4

ORC review not required

The following has been incorporated in this revision

94-DMR-002358

Periodic review frequency 1 year from the effective date

ADMIN RECORD

LIST OF EFFECTIVE PAGES

<u>Pages</u>	<u>Effective Date</u>	<u>Change Number</u>
1	02/28/95	94-DMR-002358
2	06/30/95	95-DMR-000730
3-7	02/28/95	94-DMR-002358
8-9	06/30/95	95-DMR-000730
10	02/28/95	94-DMR-002358

TOTAL NUMBER OF PAGES 10

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1. **PURPOSE**

This procedure outlines the requirements and responsibilities for the maintenance, preservation, and safekeeping of the Rocky Flats Environmental Technology Site (Site) Environmental Restoration Program Division (ERPD) project files

This procedure also implements the requirements defined in the QAPjP, Rocky Flats Plant Site-wide Quality Assurance Project Plan for CERCLA Remedial Investigations/Feasibility Studies and RCRA Facility Investigations/Corrective Measures Studies Activities, and 1-77000-RM-001, Records Management Guidance for Records Sources

2. **SCOPE**

This procedure applies to all ERPD and subcontractor personnel performing work for the ERPD Project File Center (PFC).

This procedure addresses the following topics

- Facilities
- Preservation/Maintenance
- Safekeeping

3. **DEFINITIONS**

Active Records. Records necessary to conduct the current business of an office and, therefore, are generally maintained in office space and equipment. These records are also referred to as "current" records

ERPD Project File Center (PFC). The ERPD facility where official active ERPD records are collected, processed, protected, maintained, and retrieved

One-of-a-Kind Records. Records that cannot be duplicated or microfilmed or lose their meaning when microfilmed (such as multicolored maps and map overlays)

Special Process Records. Records that require special handling for security reasons and must be stored in a particular way. Some Special Process Records such as radiographs, photographs, negatives, microform, and magnetic media cannot be duplicated

4. RESPONSIBILITIES

4.1 ERPD Environmental Documentation (ED) Manager

Establishes and implements an ERPD Records Management program to ensure that ERPD active records are maintained, preserved and safeguarded in accordance with the requirements defined in the QAPjP and 1-77000-RM-001

Approves and maintains an access control list for the ERPD PFC that precludes the entry of unauthorized personnel into the file area

Ensures that sufficient training of this procedure is received by all personnel authorized for access into the ERPD PFC

4.2 ERPD PFC Personnel

Ensures compliance to all ERPD Records Management policies, procedures, and processes

Ensures that all unauthorized personnel entering into the ERPD PFC are escorted and in visual contact at all times

Ensures that entrances and exits to the ERPD PFC remain locked and secure at all times

Ensures that record copies remain in the ERPD PFC at all times

5. INSTRUCTIONS

5.1 Facilities

ERPD ED Manager

- [1] Ensure that the official record copy of ERPD records are maintained in the ERPD PFC located in Building 080 at the Rocky Flats Environmental Technology Site
- [2] Ensure that the ERPD PFC facility is sufficient to minimize the risk of damage or destruction to project files from the following
 - Natural disasters such as winds, floods or fires
 - Environmental conditions such as high and low temperatures, and humidity
 - Infestation of insects, mold, or rodents
- [3] Ensure that storage facilities are kept clean
- [4] Ensure that provisions are made to preclude damage to files and other record media by leaks, acidic fumes, steam, and loss through theft or vandalism
- [5] Ensure that the ERPD PFC utilizes a computerized database for the indexing of ERPD active records as follows
 - [A] Ensure that the ERPD PFC database is located on a centralized server and is PASSWORD protected Read and edit privileges are assigned as required to ERPD PFC personnel
 - [B] Ensure that the ERPD PFC database is programmed for automatic backup on a nightly basis System backup media tapes are protected and maintained in the ERPD PFC as Special Process Records
 - [C] Ensure that all database modifications, programming and administrative tasks are restricted and performed by the System Administrator with authorized access privileges
- [6] Ensure that dual storage requirements are accomplished through 1-77000-RM-001 and 4-M21-IMS-4002, Control of Micrographics

5.2 Preservation and Maintenance

ERPD PFC Personnel

- [1] Ensure that ERPD active records are received, processed and indexed into the ERPD PFC in accordance with 3-J50-ER-ADM-17 07, Records Receipt, Indexing, Filing and Retrieval

5.2 Preservation and Maintenance (continued)

ERPD PFC Personnel (continued)

- [2] Ensure that ERPD Records are firmly secured into binders, folders, envelopes, or other approved devices as appropriate to protect them from damage, loss or rearrangement
 - [A] Ensure that records are maintained in permanent steel walled mobile shelving units within the ERPD PFC
- [3] Ensure that one-of-a-kind and Special Process Records are maintained in secured, four-hour fire-rated media safes located in the ERPD PFC
- [4] Ensure that RF-440, Records Transmittal & Storage Receipt, as shown Appendix 1, is prepared to transmit the records to Site Records Management for microfilming and storage
- [5] Ensure that dual storage facilities are separate from offices or work areas to limit temperature and humidity fluctuations

5.3 Safekeeping

5.3.1 Access Control

ERPD ED Manager

- [1] Ensure that an approved and dated Controlled Access authorization list is posted at all interior entrances of the ERPD PFC

ERPD PFC Personnel

- [2] Ensure that interior entrances and exits to the PFC are locked at all times
- [3] Ensure that self-locking (key/cipher locks) entry mechanisms are installed on all doors to the PFC.
- [4] Ensure that all unauthorized personnel entering the ERPD PFC are escorted and in visual contact at all times
- [5] Ensure that exterior doors to the ERPD PFC are locked at all times

Entrance or exit through exterior doors, other than emergency, is prohibited

5.3.2 Removal of Records

ERPD PFC Personnel

- [1] Ensure that ERPD record copies are retained in the ERPD PFC at all times
- [2] Ensure that ERPD record copies are not transmitted, removed, or checked out from the ERPD PFC under any circumstances
- [3] Ensure that active records are retrieved in accordance with 3-J50-ER-ADM-17 07

5.3.3 Replacement of Lost or Damaged Records

ERPD PFC Personnel

- [1] Ensure that replacement, restoration, or substitution of records occurs within 90 days following determination that a record has been lost or damaged to such a degree that it is no longer complete or legible
- [2] **IF** restoration or replacement of such records is not possible,
THEN
 - [A] Complete Lost or Damaged Record Verification documentation

Documentation is completed via formal correspondence and addressed to the Manager, ERPD Environmental Documentation
 - [B] Place the documentation in the ERPD PFC
 - [C] Update the records indexing system to reflect the action

6. RECORDS

Management of all records is consistent with 1-77000-RM-001, Records Management Guidance for Records Sources

ERPD PFC Personnel

- [1] Ensure that the original and one copy, as required, of the following quality assurance (QA) records are transmitted to the ERPD Project File Center (PFC) in accordance with 2-G18-ER-ADM-17 01, Records Capture and Transmittal
 - Records Transmittal Form
 - Records Package Table of Contents Form
 - Documentation of Lost or Damaged Records
 - Documentation of Best Copy Available
 - Documentation of Authenticity

Submission of record copies to the ERPD PFC is in accordance with Administrative Records requirements, as defined in 2-S65-ER-ADM-17 02, Administrative Record Document Identification and Transmittal

There are no non-QA records generated by this procedure

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7. REFERENCES

QAPjP, Rocky Flats Plant Site-wide Quality Assurance Project Plan for CERCLA Remedial Investigations/Feasibility Studies and RCRA Facility Investigations/Corrective Measures Studies Activities

1-77000-RM-001, Records Management Guidance for Records Sources

2-G18-ER-ADM-17 01, Records Capture and Transmittal

2-S65-ER-ADM-17 02, Administrative Record Document Identification and Transmittal

3-J50-ER-ADM-17 07, Records Receipt, Indexing, Filing and Retrieval

4-M21-IMS-4002, Control of Micrographics

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